



514413-3885  
PATENT

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THE UNITED STATES PATENT AND TRADEMARK OFFICE.

Applicants : Sprunk et al  
Serial No. : 09/899,595  
Filed : July 5, 2001  
For : PROMOTERS FOR GENE EXPRESSION CARYOPSES OF  
PLANTS

745 Fifth Avenue  
New York, New York 10151

EXPRESS MAIL

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Deposited on: October 22, 2001  
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COMMUNICATION

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

Sir:

Attached is the original executed inventor's declaration along with Check No.

017893 for \$130.00 to cover the required surcharge fee.

Also enclosed is a copy of the specification since the serial number was not  
available to the applicants at the time of execution.

Also attached is a copy of the papers that were previously submitted in connection with the sequence listing. Enclosed please find the following documents that were mailed via Express Mail on July 31, 2001:

1. Amendment to Accompany Sequence Listing;
2. Statement to Support filing and Submission;
3. Diskette and Paper Copy of Sequence Listing; and
4. Return Receipt Postcard.

Attached please also find a copy of the Preliminary Amendment submitted via Express Mail on September 13, 2001 in relation to the Sequence Listing.

This Communication is being filed with a copy of the Notice to File Missing Parts dated August 21, 2001.

Please charge any additional fees required to Deposit Account No. 50-0320:

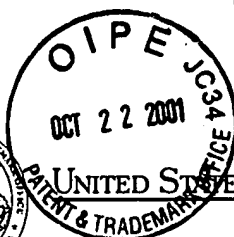
Respectfully submitted,

FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicants

By: \_\_\_\_\_



William F. Lawrence  
Registration No. 28,029  
745 Fifth Avenue  
New York, New York 10151  
(212) 588-0800



UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/899,595	07/05/2001	Stefanie Sprunk	514413-3885

CONFIRMATION NO. 7610

**FORMALITIES LETTER**



\*OC00000006451373\*

FROMMER LAWRENCE & HAUG LLP  
745 Fifth Avenue  
New York, NY 10151

Date Mailed: 08/21/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

1-800-790-7900 00000675 09089395

130.00 CP

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

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*A copy of this notice MUST be returned with the reply.*



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PART 2 - COPY TO BE RETURNED WITH RESPONSE



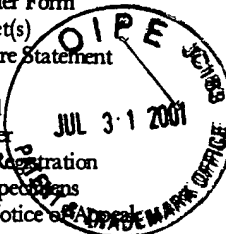
EL742695634 US mailed on Jul 31 2001

Serial No. 091899,595 File No. 514413-3885 By SKL/4NP N

Title In the Matter of the Application of Promoter for Core Express in Singapore

The following due \_\_\_\_\_ in the U.S. Patent Office, was received in the Patent Office

<input type="checkbox"/> Affidavit	<input type="checkbox"/> Declaration	<input type="checkbox"/> Express Mail Mailing Certificate
<input type="checkbox"/> Amendment		<input type="checkbox"/> (separate sheet)
<input checked="" type="checkbox"/> Preliminary Amendment		<input type="checkbox"/> Check No. _____ for \$ _____
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<input type="checkbox"/> Provisional Patent Application		<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Application for Patent, including		<input type="checkbox"/> PTO Form 1449
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<input type="checkbox"/> File Wrapper Continuation Patent Application		<input type="checkbox"/> Status Request <input type="checkbox"/> Notice of Appeal
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<input type="checkbox"/> PCT Request _____ sheets, including		<input type="checkbox"/> Priority Document
<input type="checkbox"/> Transmittal Letter to the US/RO		<input type="checkbox"/> Small Entity Declaration
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PHONE: 212 588 0600

514413-3885

TO: (PLEASE PRINT) Assistant Commissioner for Patents  
Washington D.C. 20231

PHONE: \_\_\_\_\_

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EL 742 691 68545 mailed on 09/13/01

Serial No. 09/889,595 File No. 514413-3885 By SCH/HP

Title In the Matter of the Application of Promoters for Gene Expression in Cystic Fibrosis

The following due \_\_\_\_\_ in the U.S. Patent Office, was received in the Patent Office at Plant.

<input type="checkbox"/> Affidavit	<input type="checkbox"/> Declaration	<input type="checkbox"/> Express Mail Mailing Certificate (separate sheet)
<input checked="" type="checkbox"/> Preliminary Amendment		<input type="checkbox"/> Check No. _____ for \$ _____
<input type="checkbox"/> Amendment After Final Rejection		<input type="checkbox"/> Deposit Account Order Form
<input type="checkbox"/> Request for Extension of Time		<input type="checkbox"/> Drawing _____ Sheet(s)
<input type="checkbox"/> Provisional Patent Application		<input type="checkbox"/> Information Disclosure Statement
<input type="checkbox"/> Application for Patent, including _____ Pages Specification _____ Claims		<input type="checkbox"/> PTO Form 1449
<input type="checkbox"/> Declaration <input type="checkbox"/> Oath <input type="checkbox"/> Power		<input type="checkbox"/> Issue Fee Transmittal
<input type="checkbox"/> Request for Filing Continuation or Divisional Application _____ sheets, in duplicate		<input type="checkbox"/> Brief <input type="checkbox"/> Letter
<input type="checkbox"/> File Wrapper Continuation Patent Application _____ sheets, in duplicate		<input type="checkbox"/> Application for TM Registration Including _____ Specimens
<input type="checkbox"/> PCT Request _____ sheets, including		<input type="checkbox"/> Status Request <input type="checkbox"/> Notice of Appeal
<input type="checkbox"/> Transmittal Letter to the US/RO		<input type="checkbox"/> Petition <input type="checkbox"/> Response
<input type="checkbox"/> Assignment <input type="checkbox"/> Recordation Cover Sheet		<input type="checkbox"/> Priority Document
		<input type="checkbox"/> Small Entity Declaration



PATENT  
514413-3885

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Aventis CropScience GmbH  
U.S. Serial No. : 09/899,595  
Filing Date : July 5, 2001  
For : Promoters for Gene Expression In Caryopses Of Plants  
745 Fifth Avenue, New York, NY 10151

**EXPRESS MAIL**

Mailing Label Number: EL 742 695 634 US

Date of Deposit: July 31, 2001

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**TRANSMITTAL**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Enclosed are:

1. Amendment to accompany Sequence Listing;
2. Statement to Support Filing and Submission ;
3. Diskette and Paper copy of Sequence Listing; and
4. Return-receipt postcard.

The Assistant Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§1.16, 1.17, or 1.21 that may be required by this transmittal, or to credit any overpayment, to **Deposit Account No.: 50-0320.**

Respectfully submitted,  
FROMMER LAWRENCE & HAUG LLP  
Attorneys for Applicant

Susan K. Lehnhardt  
Susan K. Lehnhardt  
Reg. No. 33,943